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#3 Sector \$

I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS FIRST CLASS MAIL IN AN ENVELOPE ADDRESSED TO: ASSISTANT COMMISSIONER FOR PATENTS, WASHINGTON, D.C. 20231, ON THE DATE INDICATED BELOW.

BY: James Jones

DATE: 3/2/02

Attorney Docket No. D7655-00002

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of: Sean J. Egan

Serial No.: 10/010,102

Group No.: Not yet known

Filed: November 8, 2001

Examiner: Not yet known

For: SYSTEM AND METHOD FOR ASSIGNING RATINGS TO MUTUAL FUNDS AND OTHER INVESTMENT FUNDS BASED ON THE VALUE OF VARIOUS FUTURE AND OPTION SECURITIES

BOX MISSING PARTS
Assistant Commissioner for Patents
Washington, DC 20231

Sir:

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION

In response to the "Notice to File Missing Parts of Application-Filing Date Granted" dated **January 2, 2002** (copy attached), a response to which is due **March 2, 2002**, in view of the Petition for Extension of Time below, enclosed herewith for filing are:

- ☒ Declaration by the inventor
- ☐ Substitute specification
- ☐ Substitute drawings

☐ **PETITION FOR EXTENSION OF TIME**

Petition is hereby made under 37 C.F.R. 1.136(a) to extend the time for response to the Notice to File Missing Parts of @, to and through @, comprising an extension of the shortened statutory period of @ months:

	Small Entity	Other Than Small Entity
One Month	___ \$ 55	___ \$ 110
Two Months	___ \$200	___ \$ 400
Three Months	___ \$460	___ \$ 920
Four Months	___ \$720	___ \$ 1,440

☐ Fee for Claims

CLAIMS	:	:NO. PAID	:	:	:	:ADDIT:	:	ADDIT	:
PRESENT	:	:FOR WITH	:PRESENT:	:	:	:RATE FEE	:	RATE	: FEE
	:	:BASIC FEE	: EXTRA	:	:	:	:	:	:
	:	:	:	:	:	:	:	:	:
TOTAL:	:	:MINUS:	: = 0	:	:	:x 9= :\$:	x18=	: \$
	:	:	:	:	:	:	:	:	:
INDEP:	:	:MINUS:	: = 0	:	:	:x42= :\$:	x84=	: \$
	:	:	:	:	:	:	:	:	:
<u>FIRST PRESENTATION OF MULTIPLE DEP. CLAIM</u>					:	:+140=:\$:	+280=	: \$
TOTAL : \$:									

[XX] Check in the amounts of \$65.00 is attached to cover the:

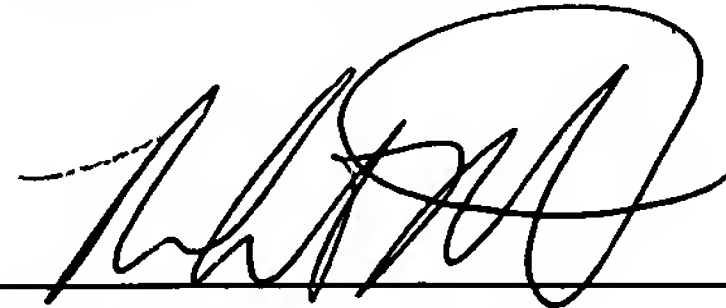
<input checked="" type="checkbox"/>	Surcharge	\$ 65.00
<input type="checkbox"/>	Statutory Basic Filing Fee	\$
<input type="checkbox"/>	Additional claim fees including multiple dependent claims.	\$
<input type="checkbox"/>	Extension of Time	\$
<input type="checkbox"/>	Petition	\$

Total Amount Due: \$ 65.00

Please charge any deficiency or credit any overpayment to Deposit Account No. 04-1679.

[X] Please charge any deficiency and any other fees that may be required by this paper to Deposit Account No. 04-1679. This sheet is attached in duplicate.

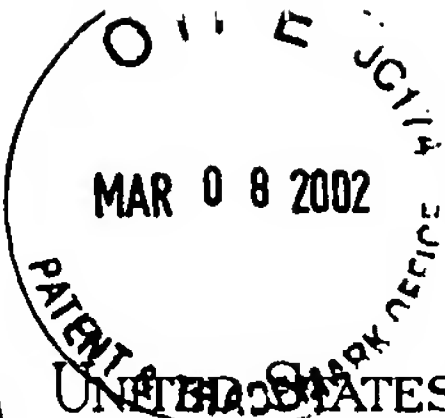
Respectfully submitted,



Robert E. Rosenthal
Registration No. 33,450
Attorney for Applicant

DATED: March 1, 2002

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UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/010,102	11/08/2001	Sean J. Egan	D7655-00002

CONFIRMATION NO. 5752

08933
WILLIAM H. MURRAY
DUANE MORRIS & HECKSCHER LLP
ONE LIBERTY PLACE
PHILADELPHIA, PA 19103-7396

FORMALITIES LETTER



OC000000007253745

Date Mailed: 01/02/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 65.**

A copy of this notice MUST be returned with the reply.

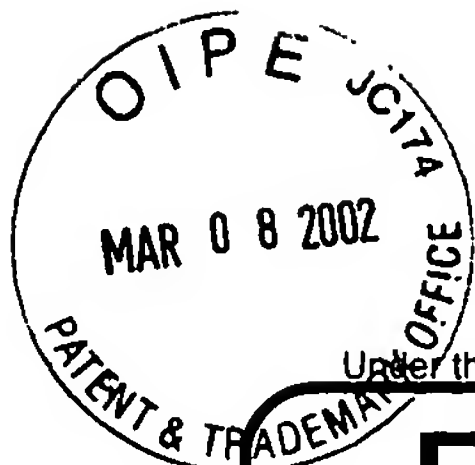
Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

03/13/2002 SMINASS1 00000030 10010102

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65.00 OP



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 200.00

Complete if Known

Application Number	10/010,102
Filing Date	11/08/2001
First Named Inventor	Sean J. Egan
Examiner Name	
Group Art Unit	
Attorney Docket No.	D7655-00002

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 04-1679
Deposit Account Name

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☒ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

	Large Entity	Small Entity	Fee Description	Fee Paid
	Fee Code (\$)	Fee Code (\$)		
101	740	201 370	Utility filing fee	
106	330	206 165	Design filing fee	
107	510	207 255	Plant filing fee	
108	740	208 370	Reissue filing fee	
114	160	214 80	Provisional filing fee	

SUBTOTAL (1) (\$)

2. EXTRA CLAIM FEES

	Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims		-20** =	X	
Multiple Dependent		- 3** =	X	

	Large Entity	Small Entity	Fee Description
	Fee Code (\$)	Fee Code (\$)	
103	18	203 9	Claims in excess of 20
102	84	202 42	Independent claims in excess of 3
104	280	204 140	Multiple dependent claim, if not paid
109	84	209 42	** Reissue independent claims over original patent
110	18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

	Large Entity	Small Entity	Fee Description	Fee Paid
	Fee Code (\$)	Fee Code (\$)		
105	130	205 65	Surcharge - late filing fee or oath	65.00
127	50	227 25	Surcharge - late provisional filing fee or cover sheet	
139	130	139 130	Non-English specification	
147	2,520	147 2,520	For filing a request for ex parte reexamination	
112	920*	112 920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115	110	215 55	Extension for reply within first month	
116	400	216 200	Extension for reply within second month	
117	920	217 460	Extension for reply within third month	
118	1,440	218 720	Extension for reply within fourth month	
128	1,960	228 980	Extension for reply within fifth month	
119	320	219 160	Notice of Appeal	
120	320	220 160	Filing a brief in support of an appeal	
121	280	221 140	Request for oral hearing	
138	1,510	138 1,510	Petition to institute a public use proceeding	
140	110	240 55	Petition to revive - unavoidable	
141	1,280	241 640	Petition to revive - unintentional	
142	1,280	242 640	Utility issue fee (or reissue)	
143	460	243 230	Design issue fee	
144	620	244 310	Plant issue fee	
122	130	122 130	Petitions to the Commissioner	
123	50	123 50	Processing fee under 37 CFR 1.17(q)	
126	180	126 180	Submission of Information Disclosure Stmt	
581	40	581 40	Recording each patent assignment per property (times number of properties)	
146	740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279 370	Request for Continued Examination (RCE)	
169	900	169 900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 65.00

SUBMITTED BY

Name (Print/Type)	Robert E. Rosenthal	Registration No. (Attorney/Agent)	33,450	Telephone	1-215-979-1255
Signature		Date	03/01/2002		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.